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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Group Art Unit No.: NYA

Roger J. Bamford, et al.

Examiner: NYA

Serial No.: 09/894,635

Filed on: June 27, 2001

For: MANAGING A RESOURCE USED BY A  
PLURALITY OF NODES

Commissioner for Patents  
Washington, D.C. 20231

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Group 2100

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

The Applicant notes that one of the references in the attached Form 1449 is a list of abstracts from an Internet Web page (e.g., the reference titled "Abstracts of Some of C. Mohan's Papers and Patents"). The Applicant notes that the other thirteen references cited on the attached Form PTO-1449 correspond to the following items of that list of abstracts as follows:

Item 9 - IBM Research Report RJ7343;

Item 17 - Proceedings of the 17<sup>th</sup> International Conference on Very Large Data  
Bases; IBM Research Report RJ8017;

Item 19 - IBM Research Report RJ8281;

Item 23 - Proc. 3<sup>rd</sup> International Conference on Extending Database Technology,  
Vienna, March 1992; IBM Research Report RJ8301;

Item 28 - Proc. 12<sup>th</sup> International Conference on Distributed Computing Systems,  
Yokohama, June 1992; IBM Research Report RJ8685;

Item 43 - U.S. Pat. No. 5,276,835;

Item 44 - U.S. Pat. No. 5,280,611;

Item 46 - U.S. Pat. No. 5,287,473;

Item 52 - U.S. Pat. No. 5,327,556; and

Item 90 - IBM System Journal, Volume 36, Number 2, 1997.

In addition, the Applicant has attempted to obtain copies of two additional references from the list of abstracts: (1) the Research Report that is associated with item 50 and (2) the Proc. 4<sup>th</sup> International Workshop on High Performance Transaction systems, Asilomar, September 1991 that is associated with item 19 (although the IBM Research Report RJ8281 for item 19 is included as noted above). However, after expending substantial effort, the Applicant has been unable to acquire copies of these two references. If and when the Applicant is able to obtain copies of these two references, the Applicant will supply such copies to the Office.

Finally, if the Examiner desires copies of any of the other references from the list of abstracts, the Examiner is encouraged to contact the Applicant who will provide such copies.

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

- ☒ 37 C.F.R. §1.97(b).
- ☐ 37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:
  - ☐ A statement pursuant to 37 C.F.R. §1.97(e) or
  - ☐ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).
- ☐ 37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:



- (1) A statement pursuant to 37 C.F.R. §1.97(e);
- (2) A petition requesting consideration of the Information Disclosure Statement; and
- (3) A check for \$ \_\_\_\_\_ for the fee under 37 C.F.R. §1.17(i) for submission of the Information Disclosure Statement.

\_\_\_\_\_ 37 C.F.R. §1.97(i). Wherein applicants are submitting references before the grant of a patent to be placed in the file but not considered by the Patent office.


- (1) Accordingly, copies of the references as listed on the attached Form PTO 1449 are submitted herewith for placement in the file. No certification or fees are deemed necessary.

Throughout the pendency of this application, please charge any additional fees, including any required extension of time fees, and credit all overpayments to deposit account 50-1302. A duplicate of this sheet is enclosed.

Respectfully submitted,

HICKMAN PALERMO TRUONG & BECKER LLP

Dated: August 23, 2001

  
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**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.

on 8/23/01 by 